

FORM PTO-1390
(REV 5-93)

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE

ATTORNEY DOCKET NUMBER
026328-00007

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371

DATE: March 16, 2006

U.S. APPLICATION NUMBER
(IF KNOWN, SEE 37 C.F.R. 1.5)
10/528,423

INTERNATIONAL APPLICATION NUMBER
PCT/AU02/01295

INTERNATIONAL FILING DATE
September 20, 2002

PRIORITY DATE CLAIMED
January 10, 2002

TITLE OF INVENTION: A VERTICAL AXIS TURBINE

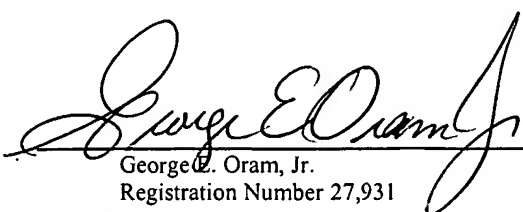
APPLICANT(S) FOR DO/EO/US: Joseph BERTONY (Hornsby North, Australia)

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☐ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☒ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☐ The U.S. has been elected (Article 31).
5. ☐ A copy of the International Application as filed [35 U.S.C. 371(c)(2)]
 - a. ☐ is attached hereto (required only if not transmitted by the International Bureau).
 - b. ☐ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application into English [35 U.S.C. 371(c)(2)].
 - a. ☐ is attached hereto.
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 [35 U.S.C. 371(c)(3)]
 - a. ☐ are attached hereto (required only if not transmitted by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 [35 U.S.C. 371(c)(3)].
9. ☒ An oath or declaration of the inventor(s) [35 U.S.C. 371(c)(4)].
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 [35 U.S.C. 371(c)(5)].

Items 11 to 20 below concern other document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 C.F.R. 1.97 and 1.98, PTO/SB/08a and References ().
12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 C.F.R. 3.28 and 3.31 is included.
13. ☐ A preliminary amendment.
14. ☐ An Application Data Sheet under 37 C.F.R. 1.76.
15. ☐ A substitute specification.
16. ☐ A power of attorney and/or change of address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 C.F.R. 1.821 - 1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☒ Applicant herein qualifies for small entity status under 37 C.F.R. 1.9 and 1.27, and acknowledgement of this status by the U.S. Patent and Trademark Office is hereby requested.
21. ☒ Other items or information: Notification of Missing Requirements (copy)

U.S. APPLICATION NUMBER (IF KNOWN, SEE 37 C.F.R. 1.50) 10/528,423		INTERNATIONAL APPLICATION NUMBER PCT/AU02/01295		ATTORNEY DOCKET NUMBER 026328-00007	
The following fees are submitted				CALCULATIONS	PTO USE ONLY
22. <input type="checkbox"/> Basic National Fee		\$300.00		\$	
23. <input type="checkbox"/> Examination Fee If International Preliminary Examination Report prepared by USPTO and all claims satisfy provisions of PCT Article 33(1)-(4)		\$100.00 All other situations		\$	
24. <input type="checkbox"/> Search Fee Search Fee (37 CFR 1.445(a)(2)) has been paid on the International Application to the USPTO as an International Search Authority		\$100.00 International Search Report prepared and provided to the Office		\$	
				\$400.00 All other situations	\$500.00
TOTAL OF CALCULATIONS FOR 21, 22 AND 23				\$	
<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.					
Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof (round up to a whole number)		Rate	
- 100 =	/ 50 =			X \$250.00	\$
Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input checked="" type="checkbox"/> 30 months from the earliest claimed priority date [37 C.F.R. 1.492(e)].				\$ 130.00	
Claims	Number Filed	Number Extra	Rate		
Total Claims	- 20 =		X \$ 50.00	\$	
Independent Claims	- 3 =		X \$200.00	\$	
Multiple dependent claim(s) (if applicable)			+ \$360.00	\$	
TOTAL OF ABOVE CALCULATIONS =				\$ 130.00	
Reduction by one-half for filing by small entity, if applicable. Verified Small Entity statement must also be filed. (Note 37 C.F.R. 1.9, 1.27, 1.28).				\$ 65.00	
SUBTOTAL =				\$ 65.00	
Processing fee of \$130.00 for furnishing the English translation later the <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date [37 C.F.R. 1.492(f)].				\$	
TOTAL NATIONAL FEE =				\$ 65.00	
Fee for recording the enclosed assignment [37 C.F.R. 1.21(h)]. The assignment must be accompanied by an appropriate cover sheet (37 C.F.R. 3.28, 3.31). \$40.00 per property				\$ 40.00	
TOTAL FEES ENCLOSED =				\$ 105.00	
03/21/2006 LLANDGRA 00000028 10528423				Amount to be refunded	\$
01 FC:2617 65.00 DP				Charged	\$
<p>a. <input checked="" type="checkbox"/> Check #442600 in the amount of \$105.00 to cover the above fees is enclosed.</p> <p>b. <input type="checkbox"/> Please charge my Deposit Account Number 01-2300 in the amount of \$.00 to cover the above fee. A duplicate copy of this sheet is enclosed.</p> <p>c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account Number 01-2300, referencing Attorney Docket Number 026328-00007.</p> <p>NOTE: Where an appropriate time limit under 37 C.F.R. 1.494 or 1.495 has not been met, a petition to revive (37 C.F.R. 1.137(a) or (b)) must be filed and granted to restore the application to pending status.</p> <p>SEND ALL CORRESPONDENCE TO: Customer Number 004372 ARENT FOX PLLC 1050 Connecticut Avenue, NW Suite 400 Washington, DC 20036-5339 Telephone: 202-857-6000 Fax: 202-638-4810</p> <p style="text-align: right;">  George E. Oram, Jr. Registration Number 27,931 </p> <p>GEO:vmh</p>					



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
 United States Patent and Trademark Office
 Address: COMMISSIONER FOR PATENTS
 P.O. Box 1450
 Alexandria, Virginia 22313-1450
 www.uspto.gov

U.S. APPLICATION NUMBER NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
10/528,423	Joseph Bertony	026328-00007

INTERNATIONAL APPLICATION NO.

PCT/AU02/01295

I.A. FILING DATE	PRIORITY DATE
09/20/2002	01/10/2002

004372
 ARENT FOX PLLC
 1050 CONNECTICUT AVENUE, N.W.
 SUITE 400
 WASHINGTON, DC 20036

CONFIRMATION NO. 4452

371 FORMALITIES LETTER



OC000000018157036

Date Mailed: 03/01/2006

NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as a Designated / Elected Office (37 CFR 1.495).

- Indication of Small Entity Status
- Copy of the International Application filed on 03/18/2005
- Copy of the International Search Report filed on 03/18/2005
- Preliminary Amendments filed on 03/18/2005
- Information Disclosure Statements filed on 03/18/2005
- Request for Immediate Examination filed on 03/18/2005
- U.S. Basic National Fees filed on 03/18/2005
- Priority Documents filed on 03/18/2005
- Specification filed on 03/18/2005
- Claims filed on 03/18/2005
- Abstracts filed on 03/18/2005
- Drawings filed on 03/18/2005

The applicant needs to satisfy supplemental fees problems indicated below.

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date.
- To avoid abandonment, a surcharge (for late submission of filing fee, search fee, examination fee or oath or declaration) as set forth in 37 CFR 1.492(h) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.

SUMMARY OF FEES DUE:

Total additional fees required for this application is \$65 for a Small Entity:

- \$65 Surcharge.

ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 32 MONTHS FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

*A copy of this notice **MUST** be returned with the response.*

KAYA L LEWIS BALTIMORE

Telephone: (703) 308-9140 EXT 202

PART 1 - ATTORNEY/APPLICANT COPY

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
10/528,423	PCT/AU02/01295	026328-00007